

Please type a plus sign (+) inside this box → ☐

PTO/SB/81 (10-00)

Approved for use through 10/31/2002. OMB 0651-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it display a valid OMB control number.

## POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	09/702,944
Filing Date	October 31, 2000
First Named Inventor	Hiroshi Fukuda
Group Art Unit	1625
Examiner Name	P. Morris
Attorney Docket Number	104610-49984 (20498)

RECEIVED

NOV 06 2003

TECH CENTER 1600/2900

I hereby appoint:

☒ Practitioners at Customer Number

26345

Place Customer  
Number Bar Code  
Label here

OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☒ The above-mentioned Customer Number.

OR

☐ Firm or  
Individual Name

Address

Address

City

State

Zip

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

### SIGNATURE of Applicant or Assignee of Record

Name

Dr. Ingrid Hehnze-Krauss

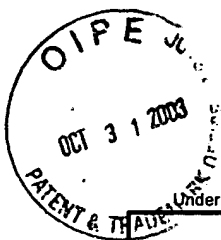
Signature

Date

11.9.03

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒ Total of One forms are submitted.



**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Basilea Pharmaceutica AG  
Application No./Patent No.: 09/702,944 Filed/Issue Date: October 31, 2000  
Entitled: N-Substituted Carbamoyloxyalkyl-Azolium Derivatives  
Basilea Pharmaceutica AG, a Corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or  
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.  
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.  
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

7/10/03  
Date

Dr. Ingrid Heinze-Krauss  
Typed or printed name  
[Signature]  
Signature  
Chief Scientific Officer  
Title

RECEIVED

NOV 06 2003

TECH CENTER 1600/2900



JULY 31, 2001



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

PTAS

HOFFMANN-LA ROCHE INC.  
GEORGE W. JOHNSTON  
PATENT LAW DEPARTMENT  
340 KINGSLAND STREET  
NUTLEY, NJ 07110

\*101719783A\* **RECEIVED**

NOV 06 2003

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

TECH CENTER 1600/2900

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 05/10/2001

REEL/FRAME: 011783/0988  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

## ASSIGNOR:

HOFFMANN-LA ROCHE INC.

DOC DATE: 05/08/2001

## ASSIGNEE:

BASILEA PHARMACEUTICA AG  
11 NEUHOFWEG  
CH-4102 BINNINGEN, SWITZERLAND

SERIAL NUMBER: 09263027  
PATENT NUMBER:FILING DATE: 03/05/1999  
ISSUE DATE:SERIAL NUMBER: 09360476  
PATENT NUMBER:FILING DATE: 07/23/1999  
ISSUE DATE:SERIAL NUMBER: 09337908  
PATENT NUMBER:FILING DATE: 06/22/1999  
ISSUE DATE:SERIAL NUMBER: 09464240  
PATENT NUMBER:FILING DATE: 12/15/1999  
ISSUE DATE:

AUG - 3

PATENT LAW

011783/0988 PAGE 2

SERIAL NUMBER: 09610647  
PATENT NUMBER:FILING DATE: 06/29/2000  
ISSUE DATE:SERIAL NUMBER: 09678866  
PATENT NUMBER:FILING DATE: 10/03/2000  
ISSUE DATE:SERIAL NUMBER: 09817465  
PATENT NUMBER:FILING DATE: 03/26/2001  
ISSUE DATE:SERIAL NUMBER: 09702944  
PATENT NUMBER:FILING DATE: 10/31/2000  
ISSUE DATE:SERIAL NUMBER: 09760949  
PATENT NUMBER:FILING DATE: 01/16/2001  
ISSUE DATE:SERIAL NUMBER: 09814630  
PATENT NUMBER:FILING DATE: 03/22/2001  
ISSUE DATE:SERIAL NUMBER: 09834129  
PATENT NUMBER:FILING DATE: 04/12/2001  
ISSUE DATE:SERIAL NUMBER: 08875187  
PATENT NUMBER: 5827883FILING DATE: 07/21/1997  
ISSUE DATE: 10/27/1998SERIAL NUMBER: 08414242  
PATENT NUMBER: 5807900FILING DATE: 03/31/1995  
ISSUE DATE: 09/15/1998SERIAL NUMBER: 08857839  
PATENT NUMBER: 5811414FILING DATE: 05/16/1997  
ISSUE DATE: 09/22/1998SERIAL NUMBER: 09079656  
PATENT NUMBER: 5969190FILING DATE: 05/15/1998  
ISSUE DATE: 10/19/1999SERIAL NUMBER: 08213562  
PATENT NUMBER: 5523400FILING DATE: 03/21/1994  
ISSUE DATE: 06/04/1996SERIAL NUMBER: 08293865  
PATENT NUMBER: 5637579FILING DATE: 08/22/1994  
ISSUE DATE: 06/10/1997SERIAL NUMBER: 08559104  
PATENT NUMBER: 5644053FILING DATE: 11/16/1995  
ISSUE DATE: 07/01/1997SERIAL NUMBER: 08573825  
PATENT NUMBER: 5631366FILING DATE: 12/18/1995  
ISSUE DATE: 05/20/1997SERIAL NUMBER: 08856070  
PATENT NUMBER: 5883247FILING DATE: 05/14/1997  
ISSUE DATE: 03/16/1999SERIAL NUMBER: 09081759  
PATENT NUMBER: 5919939FILING DATE: 05/20/1998  
ISSUE DATE: 07/06/1999SERIAL NUMBER: 08986549  
PATENT NUMBER: 5981519FILING DATE: 12/08/1997  
ISSUE DATE: 11/09/1999

011783/0988 PAGE 3

SERIAL NUMBER: 09019941  
PATENT NUMBER: 6114541

FILING DATE: 02/06/1998  
ISSUE DATE: 09/05/2000

SERIAL NUMBER: 09213465  
PATENT NUMBER: 5977381

FILING DATE: 12/17/1998  
ISSUE DATE: 11/02/1999

SERIAL NUMBER: 09252508  
PATENT NUMBER: 6184422

FILING DATE: 02/18/1999  
ISSUE DATE: 02/06/2001

SERIAL NUMBER: 09332811  
PATENT NUMBER: 6232306

FILING DATE: 06/14/1999  
ISSUE DATE: 05/15/2001

MARY BENTON, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

Form PTO-1595

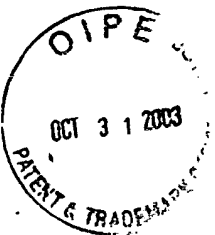
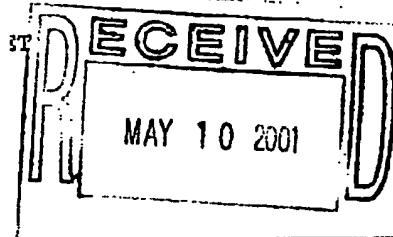
Page 1 of 2

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

05-17-2001



101719783



S-10-01

To: Director - U.S. Patent and Trademark Office: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

HOFFMANN-LA ROCHE INC.

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment ☐ Merger☐ Security Agreement ☐ Change of Name☐ Other

2. Name and address of receiving party(ies):

Name: BASILEA PHARMACEUTICA AG

Internal Address: \_\_\_\_\_

Street Address: 11 NEUHOFWEGCH-4102Country: BINNINGEN, SWITZERLANDExecution Date: May 8, 2001

Additional name(s) &amp; address(es) attached:

☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

B. Patent No.(s)

SEE APPENDIX ATTACHED HERETO.

Additional numbers attached? ☒ Yes ☐ No

Page 2 of 2

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: GEORGE W. JOHNSTON

Internal Address:

HOFFMANN-LA ROCHE INC.

PATENT LAW DEPARTMENT

Street address: 340 KINGSLAND STREET

City: NUTLEY State: NJ Zip: 07110

6. Total number of applications and patents involved: 26

7. Total fee (37 CFR 3.41) .....\$ 1040.00

☒ Authorized to be charged to deposit account

☒ Authorized any deficiencies to be charged to deposit account

8. Deposit account number:

08-2525

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

EILEEN M. EBEL

Name of Person Signing

  
Signature

MAY 8, 2001

Date

CONTACT: Miss Nell Danzi  
TELEPHONE: (973) 235-2447  
FAX: (973) 235-2363

Total number of pages including cover sheet, attachments and document: 4

**ASSIGNMENT**

**HOFFMANN-LA ROCHE INC.** ("ASSIGNOR"), a New Jersey corporation, having its principal place of business in Nutley, New Jersey, for good and valuable consideration, receipt of which is hereby acknowledged, has assigned and hereby assigns to **BASILEA PHARMACEUTICA AG** ("ASSIGNEE"), a Swiss Company, having its principal place of business in Basel, Switzerland, all of ASSIGNOR's right, title and interest for the United States of America and its territories and possessions, in and to the invention described and claimed in the U.S. Patents and patent applications which are identified in the attached Appendix, to the extent that ASSIGNOR possesses right, title and interest therein.

Nutley, New Jersey  
Date: May 8, 2001

HOFFMANN-LA ROCHE INC.

By: 

Name: William H. Epstein

Title: Assistant Secretary



# Assignment

We,

F. Hoffmann-La Roche AG (Assignor), a Swiss Company  
of 124 Grenzacherstrasse, CH-4070 Basle (Switzerland)

hereby assign to

**HOFFMANN-LA ROCHE INC. (Assignee)**

a corporation organized and existing under and by virtue of the laws of the State of New Jersey, and having its principal place of business at Nutley, New Jersey, U.S.A.,

all of our right, title and interest within the United States of America and its territorial possessions in and to the invention described and claimed in a patent application entitled

## **N-Substituted Carbamoyloxyalkyl-Azolium Derivatives**

which is about to be filed in the U.S. Patent Office in the name(s) of the inventor(s)

**Hiroshi Fukuda, Tadakatsu Hayase, Eisaku Mizuguchi, Nobuo Shimma,  
Jun Ohwada, Nobuhiro Oikawa, Masahiro Sakaitani, Masao Tsukazaki,  
Isao Umeda**

and in respect of which a declaration and Power of Attorney was executed on:

**October 26, 2000**

and in and to said patent application and Letters Patent that may issue thereon.

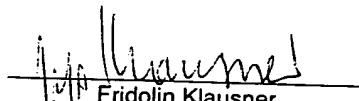
Said U.S. Patent Application is based upon the following foreign application(s):

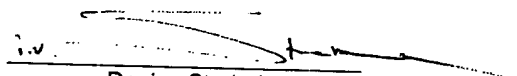
**in Europe on November 2, 1999 unter No. 99121694.6**

and was assigned to F. Hoffmann-La Roche AG, Basle, Switzerland, by the said inventor(s) by an assignment dated October 26, 2000.

Basle, Switzerland, this 1st day of November 2000.

**F. Hoffmann-La Roche AG**

  
Fridolin Klausner  
Holder of procuration

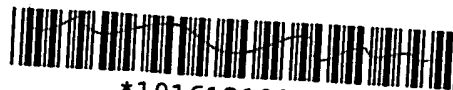
  
Denise Strebel  
Mandatory



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APRIL 23, 2001

PTAS



\*101612193A\*

HOFFMANN-LA ROCHE INC.  
GEORGE W. JOHNSTON  
PATENT LAW DEPARTMENT  
340 KINGSLAND STREET  
NUTLEY, NJ 07110

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 01/10/2001

REEL/FRAME: 011499/0206  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
FUKUDA, HIROSHI

DOC DATE: 10/26/2000

ASSIGNOR:  
HAYASE, TADAKATSU

DOC DATE: 10/26/2000

ASSIGNOR:  
MIZUGUCHI, EISAKU

DOC DATE: 10/26/2000

ASSIGNOR:  
SHIMMA, NOBUO

DOC DATE: 10/26/2000

ASSIGNOR:  
OHWADA, JUN

DOC DATE: 10/26/2000

ASSIGNOR:  
OIKAWA, NOBUHIRO

DOC DATE: 10/26/2000

ASSIGNOR:  
SAKAITANI, MASAHIRO

DOC DATE: 10/26/2000



RECORDATION FORM COVER SHEET

**PATENTS ONLY**

CASE 20498

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

- 1) Hiroshi Fukuda
- 2) Tadakatsu Hayase
- 3) Eisaku Mizuguchi
- 4) Nobuo Shimma
- 5) Jun Ohwada
- 6) Nobuhiro Oikawa
- 7) Masahiro Sakaitani
- 8) Masao Tsukazaki
- 9) Isao Umeda

2. Name and address of receiving party(ies):

Name: F. HOFFMANN-LA ROCHE AG

Internal Address: A SWISS COMPANY

Additional name(s) of conveying party(ies) attached?      Yes   X   No

3. Nature of conveyance:

  XX   Assignment      Merger  
     Security Agreement      Change of Name  
     Other                     

Street Address: 124 GRENZACHERSTRASSE,  
CH-4070

Country: BASEL, SWITZERLAND

Execution Date: OCTOBER 26, 2000

Additional name(s) & address(es) attached:  
Yes      No   X  

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:                     

A. Patent Application No.(s)

B. Patent No.(s)

USSN 09/702,944 FILED: OCTOBER 31, 2000

Additional numbers attached?      Yes   X   No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: GEORGE W. JOHNSTON

Internal Address:

HOFFMANN-LA ROCHE INC.

PATENT LAW DEPARTMENT

Street address: 340 KINGSLAND STREET

City: NUTLEY State: NJ Zip: 07110

6. Total number of applications and patents involved: ONE

7. Total fee (37 CFR 3.41).....\$ 40.00

☒ Authorized to be charged to deposit account

☒ Authorized any deficiencies to be charged to deposit account

8. Deposit account number:

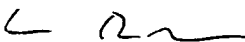
08-2525

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

CATHERINE ROSEMAN SMITH  
Name of Person Signing

  
Signature

JANUARY 16, 2001  
Date

CONTACT: Lou Ann Donatoni  
TELEPHONE: (973) 235-4389  
FAX: (973) 235-2363

Total number of pages including cover sheet, attachments and document: 3

# Assignment

WHEREAS, I/WE

Hiroshi Fukuda, Tadakatsu Hayase, Eisaku Mizuguchi, Nobuo Shimma, Jun Ohwada,  
Nobuhiro Oikawa, Masahiro Sakaitani, Masao Tsukazaki, Isao Umeda  
the ASSIGNOR(S), have invented certain new and useful improvements in

## **N-Substituted Carbamoyloxyalkyl-Azolium Derivatives**

which are described and claimed in application for United States Letters Patent in respect of which a Declaration and Power of Attorney was executed on

October 26, 2000

which application is based upon the following foreign application(s)

**in Europe on November 2, 1999 under No. 99121694.6**

NOW, THEREFOR, for and in consideration of the sum of One Dollar (\$1.00) and other good and valuable considerations to me (us) in hand paid, the receipt and sufficiency whereof are hereby acknowledged, I/we have sold, assigned and set over, and by these presents do hereby sell, assign and set over unto

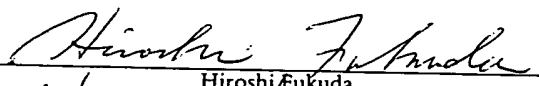
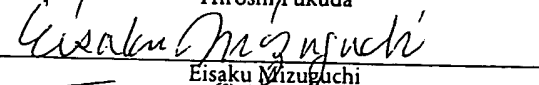
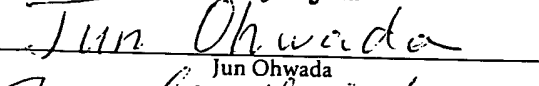
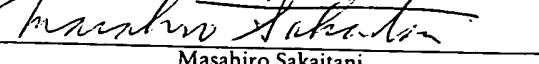
F. Hoffmann-La Roche AG, a Swiss Company  
of 124 Grenzacherstrasse, CH-4070 Basle (Switzerland) the Assignee

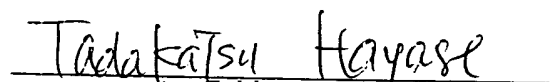
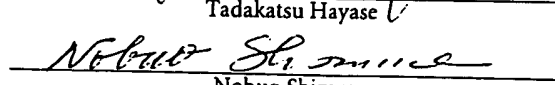
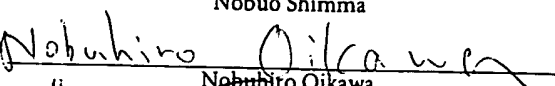
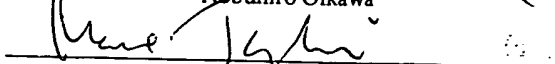
and the said Assignee's legal representatives, successors and assigns, the entire right, title and interest, in and to the said invention within the United States of America and its territories and possessions, and in and to said application and the Letters Patent of the United States of America that may be granted therefor, together with the right to extend the protection thereof to the various territories and possessions now owned or which may be acquired hereafter by the United States of America; and I/we do hereby request and authorize the Commissioner of Patents to issue said Letters Patent to the above-mentioned Assignee agreeably with the terms of this assignment.

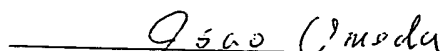
UPON SAID CONSIDERATION, I/we do hereby covenant and agree with the said Assignee that I/we will not execute any writing or do any act whatsoever conflicting with these presents, and that I/we will at any time upon request without further or additional consideration, but at the expense of the said Assignee, execute such additional assignments and other writings and do such additional acts as said Assignee may deem necessary or desirable to perfect the Assignee's enjoyment of this grant, and render all necessary assistance in making application for and obtaining original, divisional, reissued, or extended Letters Patent of the United States of America on said invention, and in enforcing any rights or choses in action accruing as a result of such applications or patents, including but not limited to, giving testimony in any proceedings or transactions involving such applications or patents, and executing preliminary statements and other affidavits, it being understood that the foregoing covenant and agreement shall bind and inure to the benefit of the assigns and legal representatives of all parties hereto.

IN WITNESS WHEREOF, this Assignment has been executed by the Assignor(s)

at Tokyo, Japan  
on October 26, 2000

  
Hiroshi Fukuda  
  
Eisaku Mizuguchi  
  
Jun Ohwada  
  
Masahiro Sakaitani

  
Tadakatsu Hayase  
  
Nobuo Shimma  
  
Nobuhiro Oikawa  
  
Masao Tsukazaki

  
Isao Umeda